



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **Confirmation No. 1632**
Norio KIMURA et al. : Docket No. 2001-0660A
Serial No. 09/864,208 : Group Art Unit 1763
Filed May 25, 2001 : Examiner Sylvia MacArthur

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SUBSTRATE POLISHING APPARATUS
AND SUBSTRATE POLISHING METHOD

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No.

1a. ☐ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☒ This Information Disclosure Statement is submitted

10/07/2003 CCHAU1 00000009 09864208 180.00 DP
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after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
- (2) ☒ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and
the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

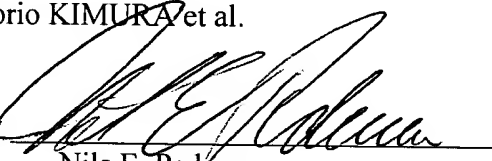
- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
 - b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.
3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,

- b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☐ the concise explanation contained in the specification of the present application at page,
 - d. ☐ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Norio KIMURA et al.

By



Nils E. Pedersen

Registration No. 33,145

Attorney for Applicants

NEP/kg
Washington, D.C. 20006-1021
Telephone (202) 721-8200
Facsimile (202) 721-8250
October 6, 2003

THE COMMISSIONER IS AUTHORIZED
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FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
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Date Submitted to PTO: October 6, 2003

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09/864,208

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APPLICANT
Norio KIMURA et al.FILING DATE
May 25, 2001GROUP
1763

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,514,245	5/1996	Doan et al.			
	AB	5,559,428	9/1996	Li et al.			
	AC	5,644,221	7/1997	Li et al.			
	AD	5,659,492	8/1997	Li et al.			
	AE	5,660,672	8/1997	Li et al.			
	AF	5,663,637	9/1997	Li et al.			
	AG	5,676,587	10/1997	Landers et al.			
	AH	5,731,697	3/1998	Li et al.			
	AI	5,770,948	6/1998	Li et al.			
	AJ	6,555,466	4/2003	Laursen et al.			
	AK	6,558,229	5/2003	Kimura et al.			
	AL	6,579,148	6/2003	Hirokawa et al.			
	AM	6,582,282	6/2003	Somekh			
	AN	6,602,724	8/2003	Redeker et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AO	1066925A2	1/2001	EP				
	AP	02/103777	12/2002	WO				
	AQ	02/103779	12/2002	WO				

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

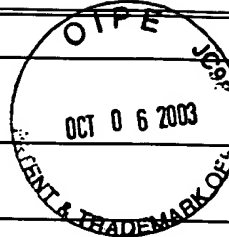
DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,897,426	4/1999	Somekh			
	AB	6,072,313	6/2000	Li et al.			
	AC	6,120,354	9/2000	Koos et al.			
	AD	6,162,368	12/2000	Li et al.			
	AE	6,218,306	4/2001	Fishkin et al.			
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	AG	6,261,157	7/2001	Bajaj et al.			
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	AI	6,413,156	7/2002	Shimizu et al.			
	AJ	6,435,942	8/2002	Jin et al.			
	AK	6,435,945	8/2002	Somekh			
	AL	6,436,302	8/2002	Li et al.			
	AM	6,443,814	9/2002	Miller et al.			
	AN	6,468,135	10/2002	Cruz et al.			
	AO	6,476,921	11/2002	Saka et al.			
	AP	6,544,103	4/2003	Korovin			

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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
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